

**U.S. SECURITIES AND EXCHANGE COMMISSION  
PUBLIC NOTICE OF VACANCY  
SENIOR OFFICER (SO) Position  
(SES Equivalent)**

**ACCOUNTANT  
ESHA-04-125-GB**

This position is also posted under announcement 04-150-GB, for applicants with attorney experience.

**Opening Date: July 08, 2004**

**Closing Date: August 06, 2004**

<b>POSITION TITLE</b> Associate District Administrator (Examinations)	<b>FULL PERFORMANCE LEVEL</b> SO 510-Level 2 (\$137,223-\$203,000)
<b>PAY PLAN, SERIES, GRADE</b> SO-510-Level 1 (\$122,519-\$184,269)	<b>COMPETITIVE CIVIL SERVICE STATUS IS NOT REQUIRED</b> <b>This is a non-bargaining unit position</b>
<b>NUMBER OF VACANCIES</b> One	<b>WORK SCHEDULE</b> Full-Time
<b>AREA OF CONSIDERATION</b> (U.S. Citizenship Required)	<b>ORGANIZATION AND DUTY STATION</b>  Philadelphia District Office Philadelphia, Pennsylvania
<b>ALL SOURCES</b>	
<b>FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE, PLEASE SEE: <a href="http://www.sec.gov/jobs.shtml">www.sec.gov/jobs.shtml</a></b>	

**SUMMARY OF CRITICAL DUTIES:** The primary function of this managerial position is to provide overall management direction for the examination program in the Philadelphia District Office. The incumbent will be responsible for one or more of the following: Compliance and examination activities for investment advisers, investment companies and related transfer agents within the Region or District, and/or compliance and examination activities for broker-dealers and transfer agents located within the Region or District. The incumbent is responsible for the overall leadership and management of examinations, meeting appropriate program and office goals, and ensuring the high quality of examinations and appropriate dispositions, and hiring, training and deploying staff. Incumbent also provides appropriate examination staff support and assistance for investigative and enforcement activities that may result from such examination functions. The incumbent insures that the compliance and examination activities of the District office is carried out consistent with overall Commission guidelines and priorities. The incumbent's responsibilities further require frequent communication with registrants, state and other federal authorities, the public and self-regulatory organizations. As the chief examination representative in the district, the incumbent participates in educating the securities industry and the public generally as to the nature and effect of the work of the Commission and the protection afforded to public investors by the federal securities laws. Incumbent will also be responsible for proposing changes in policy and operational guidance, in an effort to keep up with the latest developments and changes in the securities industry.

**QUALIFICATIONS REQUIRED:** You must meet the minimum qualification requirements, which include the basic and specialized experience requirements, described below to be considered for this position. These requirements are in accordance with the U.S. Office of Personnel Management Qualification Standards Handbook.

**Basic Requirement**

1. Degree in accounting, business administration, finance, or public administration that included 24 semester hours in accounting and/or auditing subjects, 6 semester hours can be in business law; OR
2. Four or more years of accounting/auditing experience; OR
3. Equivalent combination of accounting experience and college-level education.

If you meet #2 or #3 above, you also must have:

- a) 24 semester hours in accounting/auditing courses (up to 6 semester hours can include business law);
- b) a CPA or CIA obtained through written examinations; OR
- c) completion of a degree with at least 15 semester hours in accounting/auditing, provided that the candidate has successfully worked at the full performance level in accounting, auditing, or a related field; or have certification from at least two higher level professional accountants or auditors that the candidate's accounting experience equals the knowledge associated with a 4-year accounting/auditing degree.

**Specialized Experience Requirement**

You must have at least 52 weeks of specialized experience at the GS-15 or equivalent level (i.e., SK-16/17 at the SEC), or equivalent experience in the private sector, AND significant supervisory/managerial experience. The specialized experience must demonstrate an in-depth knowledge of the preparation, audit or review of financial statements prepared in

accordance with Generally Accepted Accounting Principles involving extensive application of Financial Accounting Standard Board Statements and Interpretations, Accounting Principle Board Opinions, and Statements of Auditing Standards together with the related duties above.

The specialized experience must demonstrate knowledge of the Acts administered by the Commission and expert knowledge in the review and analysis of financial information. In addition, you must have in-depth knowledge and understanding of Federal securities laws, the operations and functions of broker-dealers, investment advisers, and/or investment companies; and economic, accounting, auditing and financial analysis principles as they relate to investment companies, investment advisers and/or broker-dealers.

Candidates who are currently SES at other Federal agencies AND have had competitive career status as a General Schedule or equivalent Federal employee, may apply for reassignment.

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### **Senior Officer “SO” Core Qualifications:**

If you meet the requirements described above, a panel of three executives will review and rate your application on the four “Senior Officer Core Qualifications” identified below.

Please address each of the four Senior Officer Core Qualifications below, **in writing AND on separate sheets of paper**, clearly describing **and** giving examples that describe the extent of your experience. If your application does not show experience in each category, you may be determined ineligible or receive a low rating.

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#### **I. MANDATORY TECHNICAL EXPERIENCE:**

Mandatory technical ranking factors are used to ascertain the extent of your knowledge, skills, and abilities as they relate to the specialized experience of the position. Provide examples that illustrate:

1. Comprehensive knowledge and understanding of one or more of the following: the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Company Act of 1940, and the Investment Advisers Act of 1940.
2. Substantial knowledge of and experience in the conduct of complex examinations.
3. Ability to analyze complex legal problems and devise innovative solutions which may have precedent-setting impact.
4. Knowledge of and experience with the operations of broker-dealers, investment advisers, and investment companies.
5. Experience that demonstrates an understanding of examination process and procedures, including an understanding of U.S. generally accepted accounting principles (GAAP), and generally accepted auditing standards (GAAS).

#### **II. MANDATORY MANAGEMENT EXPERIENCE:**

Experience designing and implementing strategies which maximize employee potential and foster high ethical standards in meeting the organization’s vision, mission and goals. This includes the ability to provide leadership to inspire, motivate, and guide others toward goal accomplishment; promoting quality through effective use of the organization’s performance management system; and, fostering commitment, team spirit, pride and trust to help the organization meet its organizational and strategic goals.

#### **III. LEADING CHANGE/ACHIEVING RESULTS:**

Experience developing and implementing an organizational vision, which integrates key national and program goals, priorities, values, and other factors of that organization. Applicant must give an example of a major program change or project they led, which identifies how they exercised sound leadership and motivated managers and employees to incorporate vision, strategic planning, and elements of quality management into achieving **results or change** for the organization.

Examples given **MUST** stress **accountability and continuous improvement**. This includes dealing effectively with pressure, being open to change and new information, identifying and integrating key issues affecting the organization (including political, economic, social, technological, and administrative factors), setting program standards to promote customer service and/or the quality of the program and holding self and others accountable for achieving these standards. Examples must illustrate how applicants went from point “A” (problem to solve) to point “B” (end result/change for the organization).

#### **IV. BUILDING COALITIONS/COMMUNICATION:**

The ability to explain, advocate, and express facts and ideas (both orally and in writing) in a convincing manner, and negotiate with individuals and groups both internally and externally. Incumbents must be experienced in representing and speaking for the organizational unit and its work (through speeches, presentations, negotiations, etc) to those within and outside the office. This factor involves the ability to develop an expansive professional network with other organizations and to identify the internal and external issues that impact the work of the organization.

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## EVALUATION OF CANDIDATES

If you are a displaced employee, you must attach to the front of your application proof of eligibility, such as a SF-50. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well qualified criteria that have been established for the above position. A well-qualified displaced candidate will be referred before any other qualified candidates inside and outside of Federal service. All other applications will also be evaluated against the qualifications required for the position and evaluated by a panel of subject matter experts based on the information in your application. If you do not address the Senior Officer Core Qualifications to clearly describe the extent of your experience, you may be determined ineligible or receive a low rating.

Candidates who meet the Minimum Qualifications Required will be rated on the basis of relevant experience, education, training, supervisory appraisal, job-related awards, and the Senior Officer Core Qualifications.

Disabled veterans, individuals with disabilities, and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.

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## HOW TO APPLY

To apply, submit:

1. A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies; 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the OPM pamphlet "Applying for a Federal job". If you are a Federal employee, please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
2. Separate sheet(s) which clearly address each of the **Senior Officer Core Qualifications**.
3. If you are a current Federal employee, a copy of your most recent performance appraisal.
4. If you are a current Federal employee a copy of SF-50, Notification of Personnel Action, to verify Federal competitive civil service status or reinstatement eligibility. (DO NOT submit copies of SF-50's for awards unless they show your current series and grade.)
5. If you are claiming veteran's preference, proof of active military service and honorable discharge (DD-214).
6. Background Survey Questionnaire (optional).

**If you do not provide all the information requested, you may lose consideration for this position.**

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## FILING APPLICATIONS

Applications should be postmarked and mailed to U.S. Securities and Exchange Commission, Office of Human Resources and Administrative Services (OHRAS), 6432 General Green Way, Alexandria, VA 22312, and received in OHRAS no later than the vacancy announcement closing date. Hand delivered applications from within headquarters must be personally accepted and date stamped in OAPM, Mini Personnel Office, Room 1120, Mail Stop 1-3 on or before the vacancy announcement closing date.

Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. In accordance with agency policy, SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines. Other application materials (i.e., SF-50, Notification of Personnel Action, performance appraisal, etc) must be faxed within the prescribed deadline. Applicants are reminded of legal prohibition against the use of Government envelopes or other property for other than officially approved activities.

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**WHERE TO FILE**  
**U. S. Securities and Exchange Commission**  
**OHRAS (Mail Stop 0-1)**  
**6432 General Green Way, Alexandria, VA 22312**  
**Attn: Sharon Foxx**  
**FAX - (703) 914-0556**

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**Moving expenses Will be paid for this position.**

The Securities and Exchange Commission may pay for limited moving expenses for a new appointee such as: the cost of transportation for the appointee and his/her immediately family members from current residence to an SEC official duty station; per diem expenses (hotel and meals, if applicable) for the new appointee only while en route to new duty station; the costs of transportation and temporary storage for up to 18,000 pounds of household goods; Ninety days of temporary storage may be authorized with the option for up to an additional 90 days subject to approval; the cost of shipment of privately owned vehicle.

EMPLOYEES however, must sign a **one-year service agreement** **BEFORE** any expenses can be authorized. All allowances are paid within the parameters of the Federal Travel Regulation rates and restrictions. \* \* \* Current Federal Employees may receive additional benefits, which will be explained in detail later if selected for this position.

**New supervisors will serve a one-year supervisory probationary period.**

**The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment.**

**REASONABLE ACCOMMODATION:** The SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodation will be on a case-by-case basis.

**EQUAL EMPLOYMENT OPPORTUNITY:** All candidates will be considered without regard to any non-merit reason such as race, color, religion, sexual orientation, national origin, or disability. SEC provides reasonable accommodations to applicants with disabilities.